

DRAWINGS  
FOR  
APPLICATION  
FOR  
UNITED STATES LETTERS PATENT

TITLE: CONTROLLING A TRADING ACCOUNT OWNED BY A  
SECURITIES TRADER

APPLICANTS: THURSTON GILMAN, DAVID GELFOND, SCOTT  
GILMAN, ALEKE MSUMBA AND PAUL BONNARIGO

FIGURES: 1 through 67

SHEETS: 31

CERTIFICATE OF MAILING BY EXPRESS MAIL

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February 6, 2001

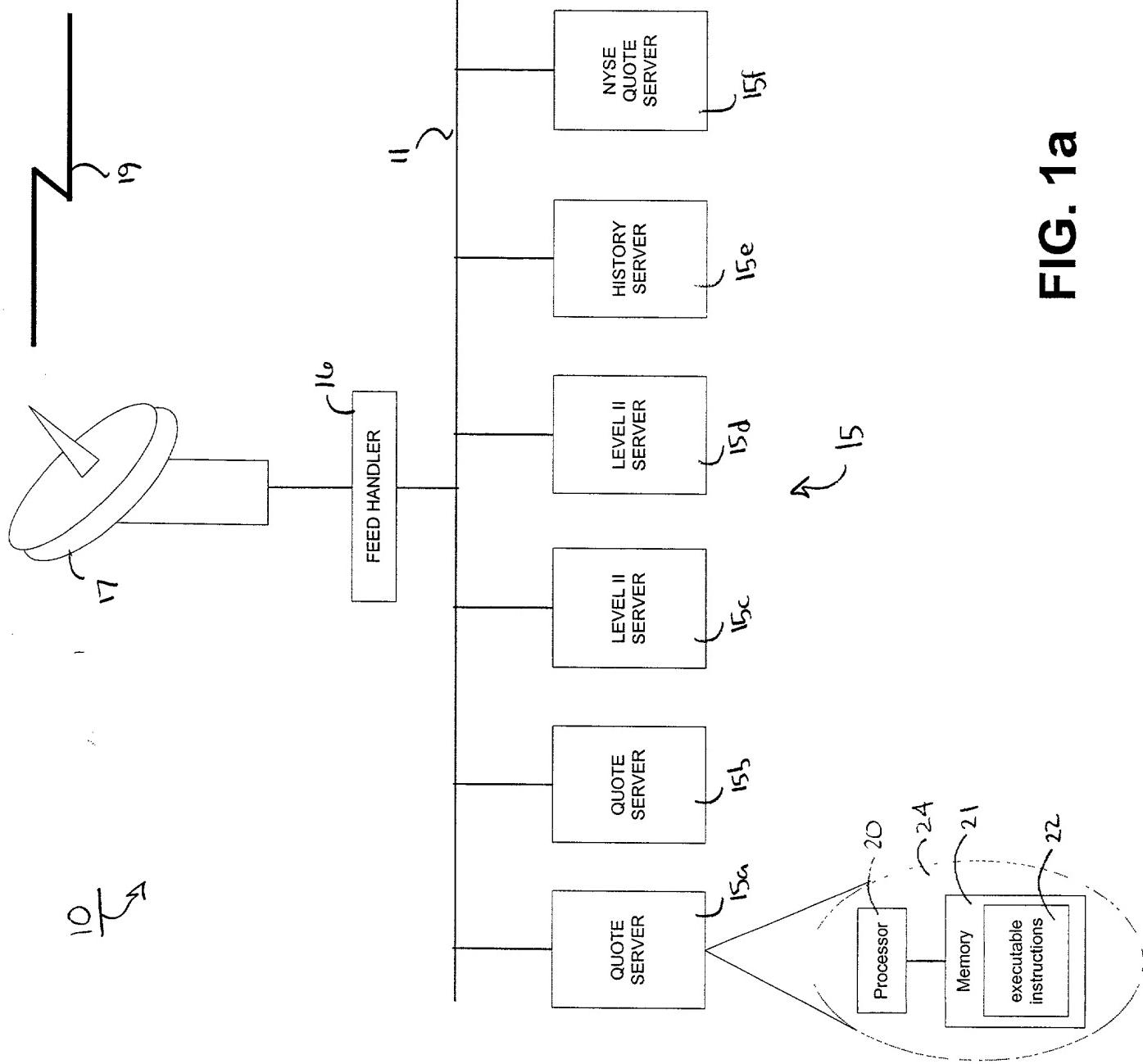
Date of Deposit

Signature

\_\_\_\_\_  
*Samantha Bell*  
\_\_\_\_\_  
*Samantha Bell*  
\_\_\_\_\_  
Typed or Printed Name of Person Signing Certificate

**FIG. 1**

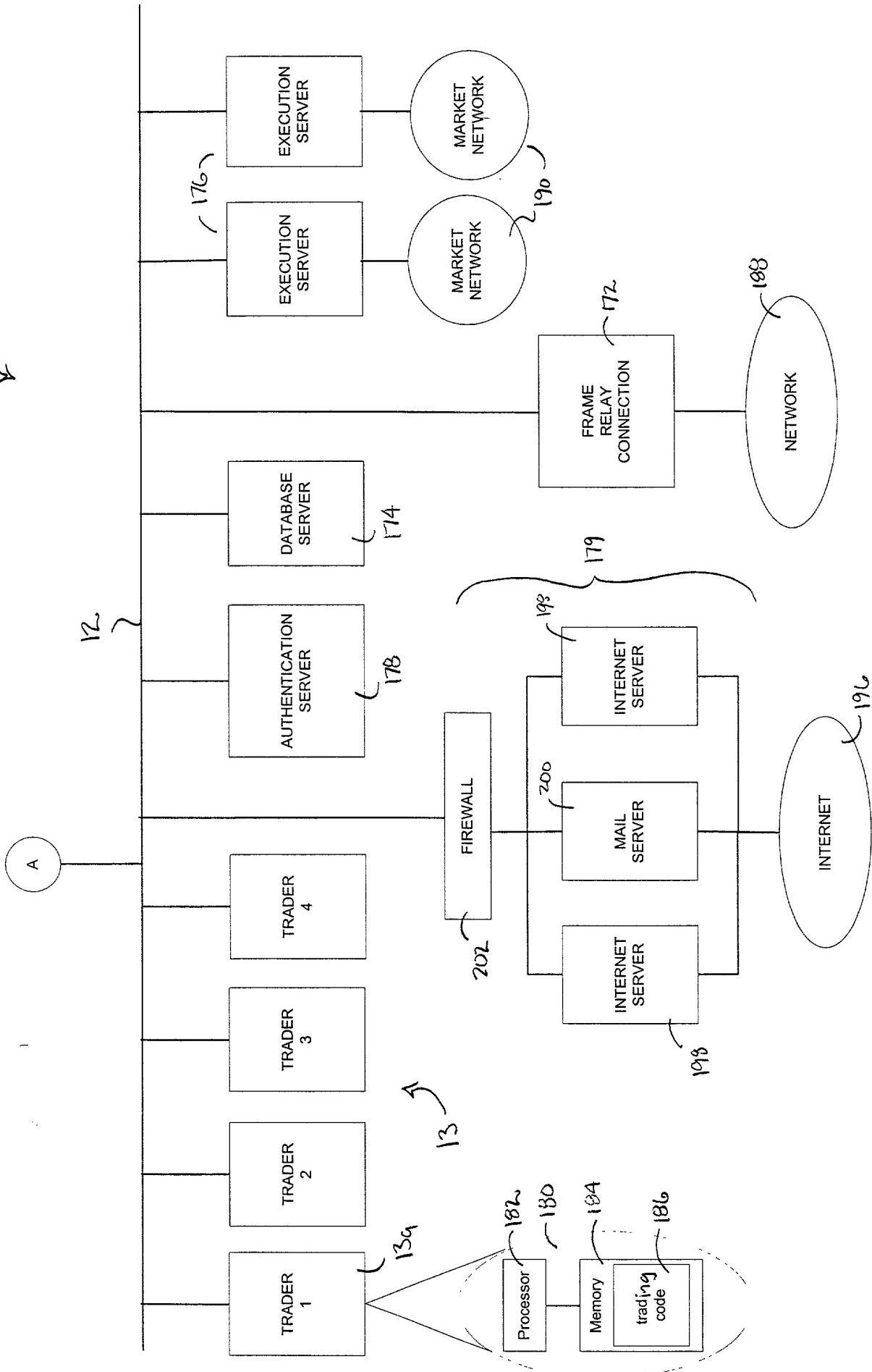
**FIG. 1a**  
**FIG. 1b**



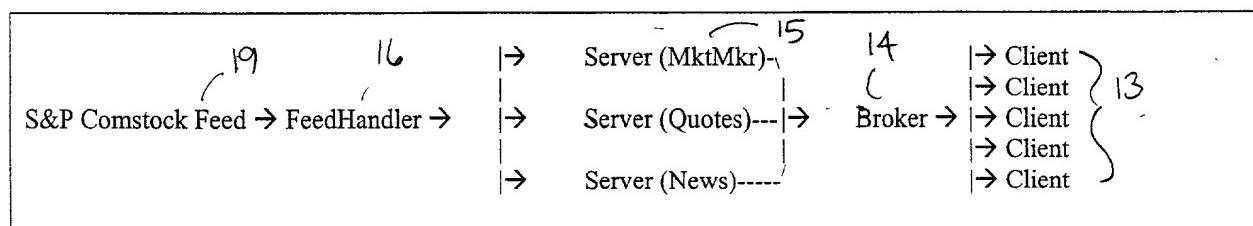
**FIG. 1a**

## FROM DATA FEED NETWORK

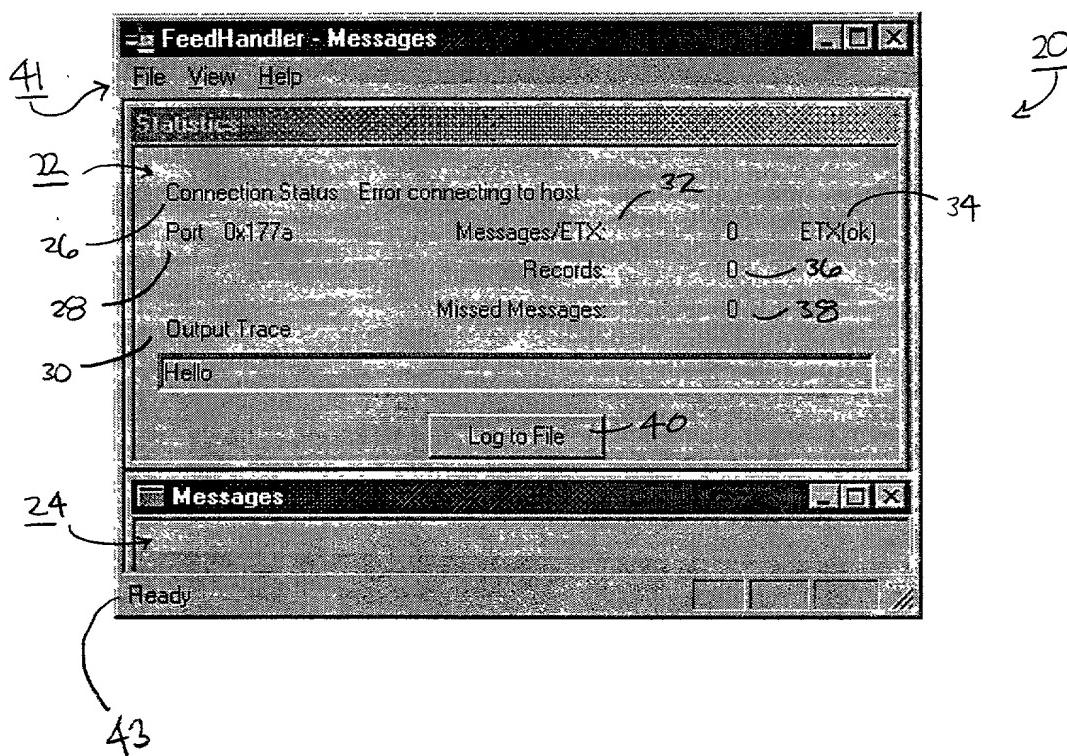
10



**FIG. 1b**



**FIG. 2**



**FIG. 3**

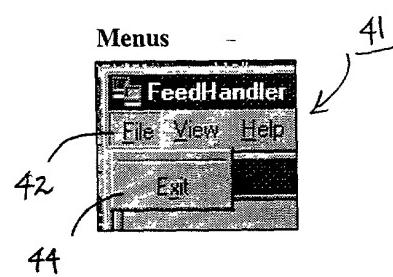


FIG. 4

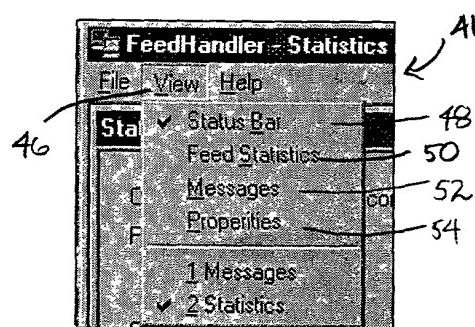


FIG. 5

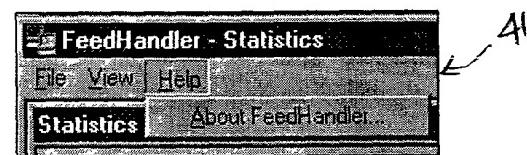
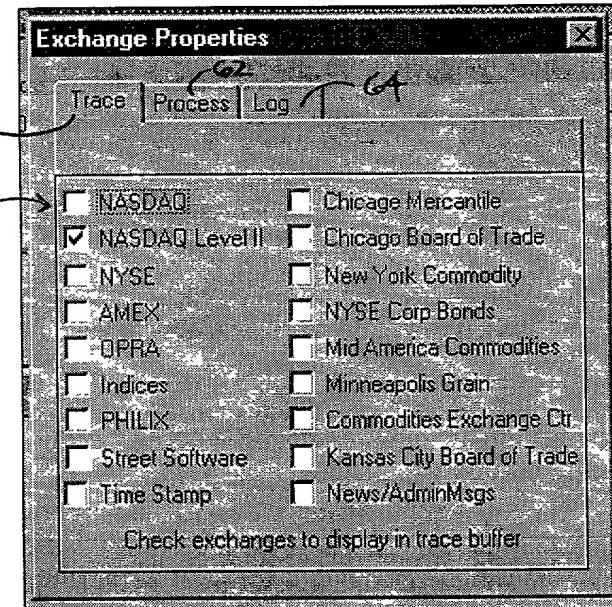
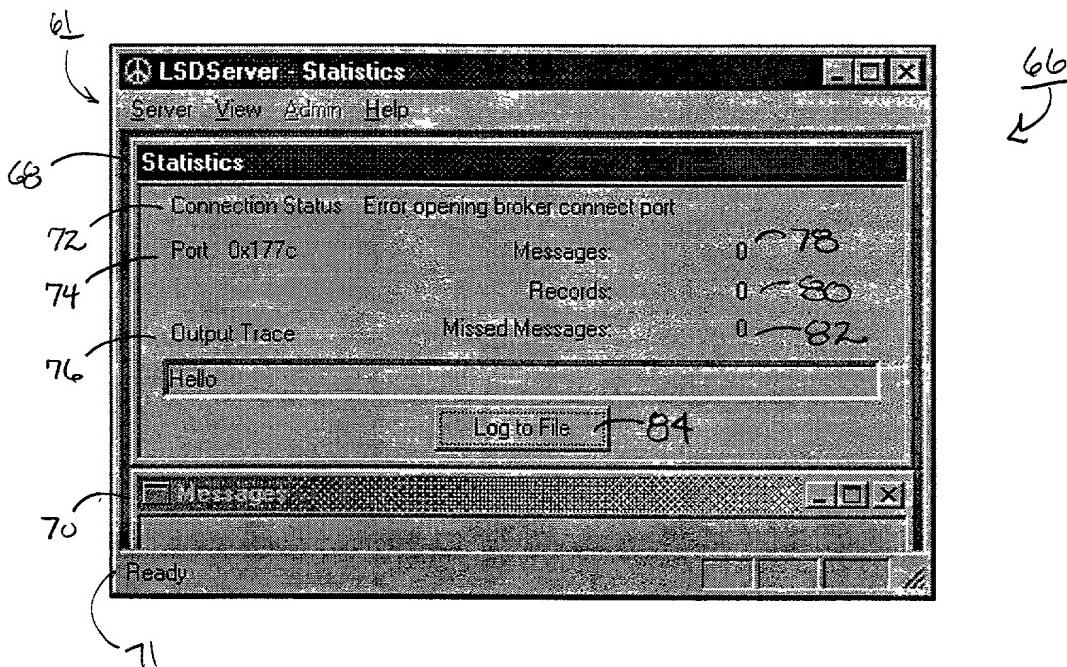


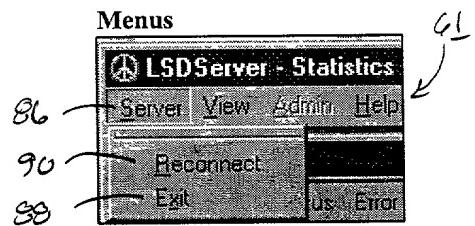
FIG. 6



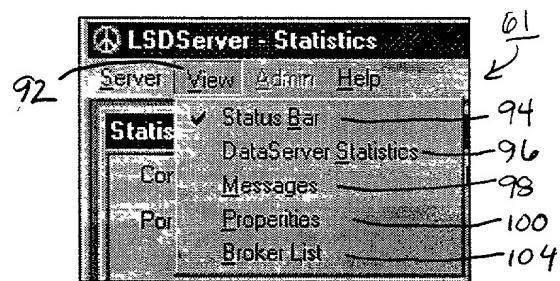
**FIG. 7**



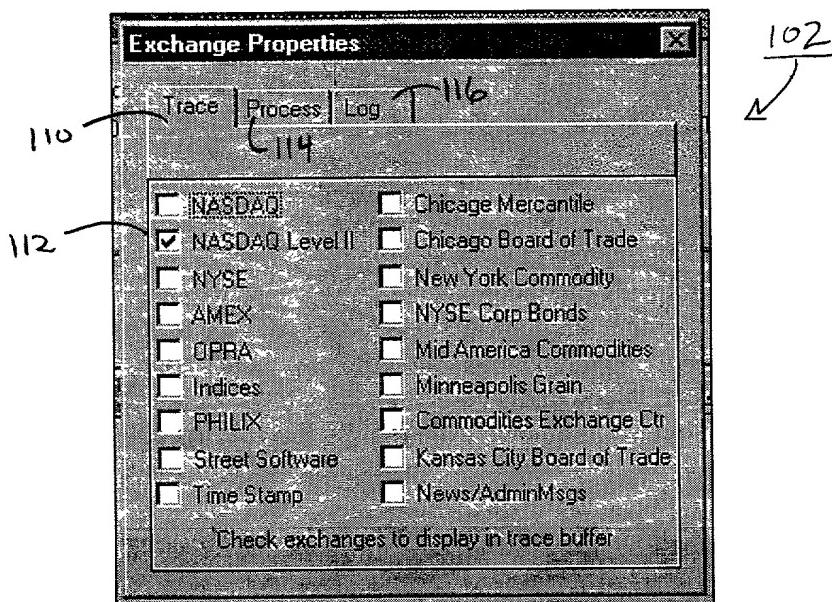
**FIG. 8**



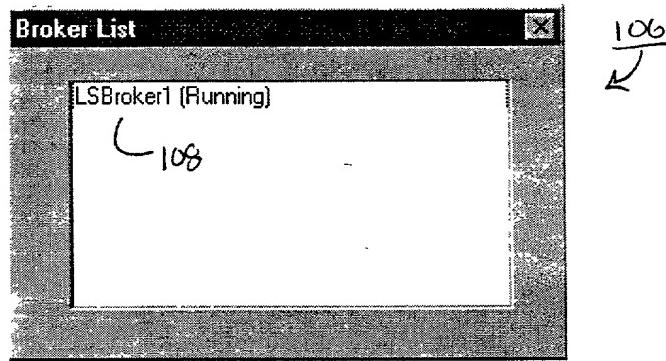
**FIG. 9**



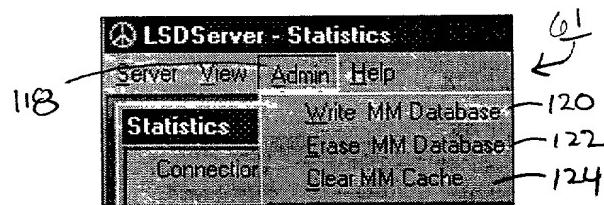
**FIG. 10**



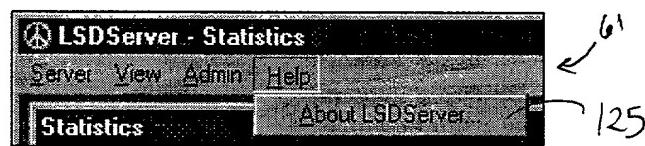
**FIG. 11**



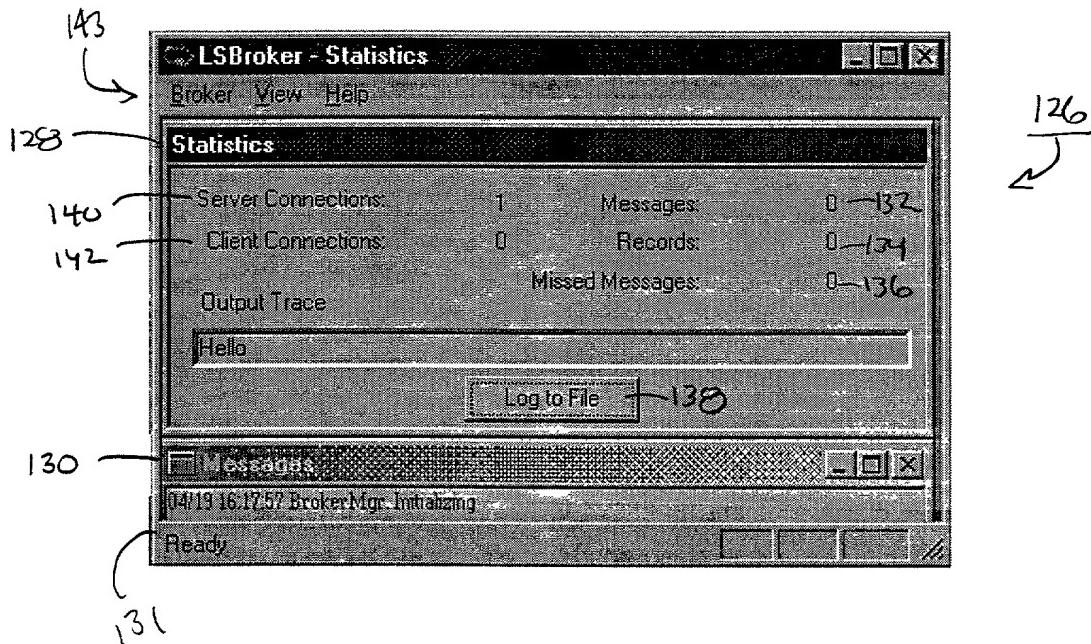
**FIG. 12**



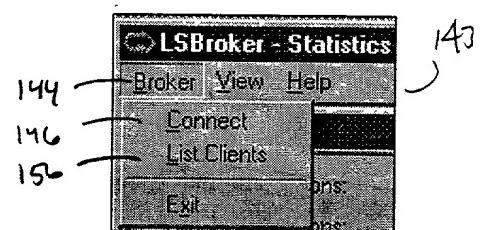
**FIG. 13**



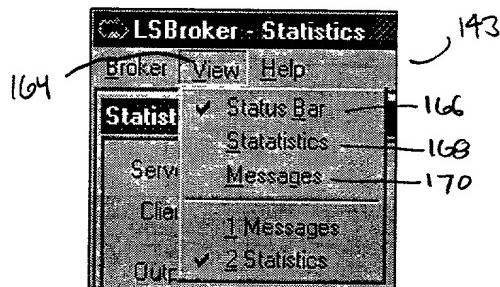
**FIG. 14**



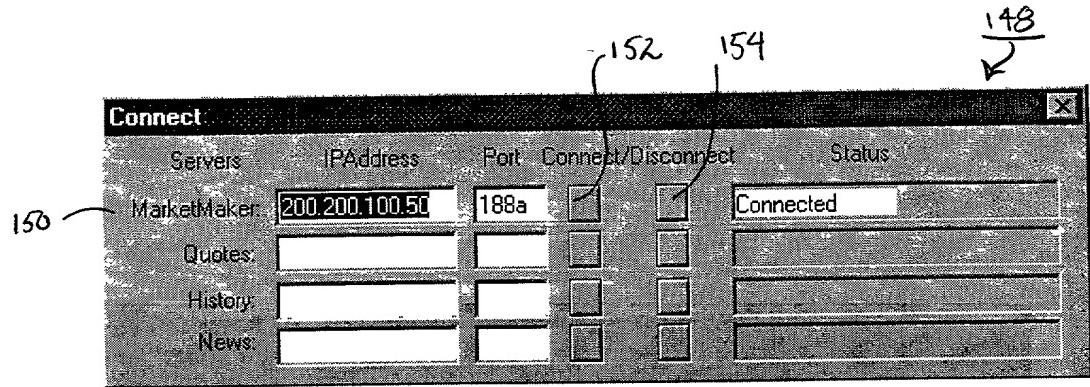
**FIG. 15**



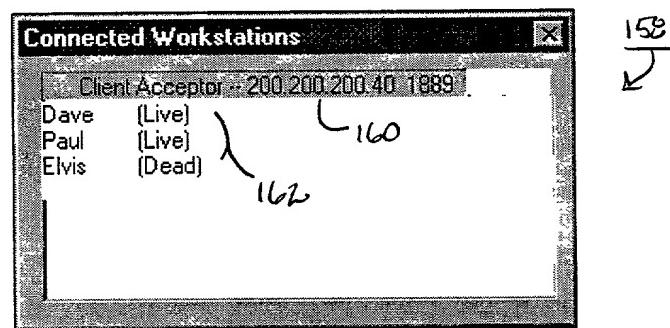
**FIG. 16**



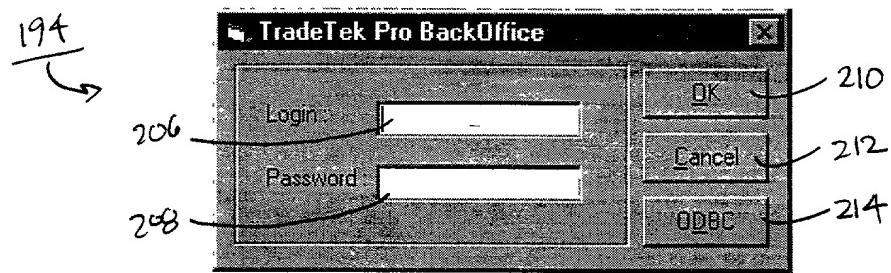
**FIG. 17**



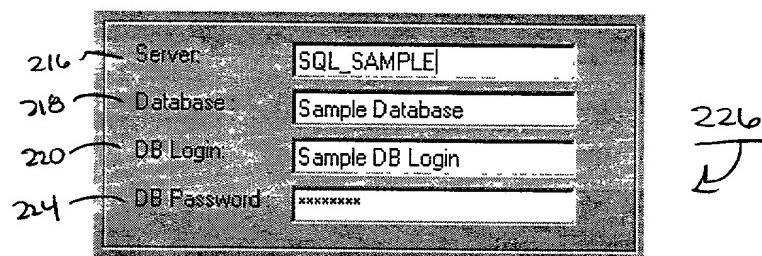
**FIG. 18**



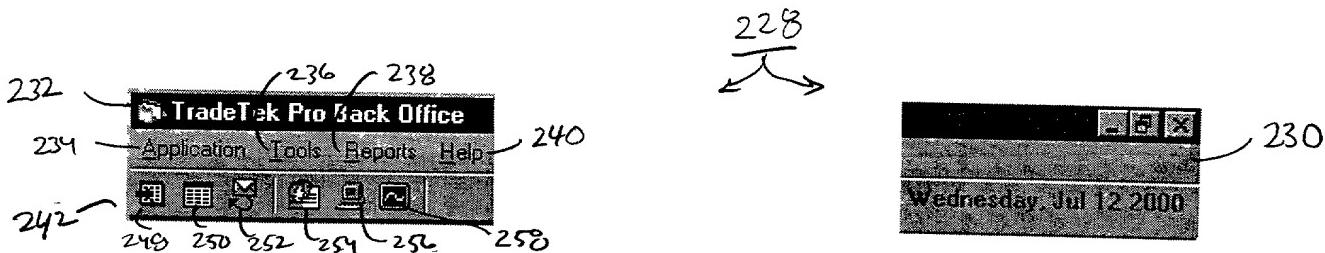
**FIG. 19**



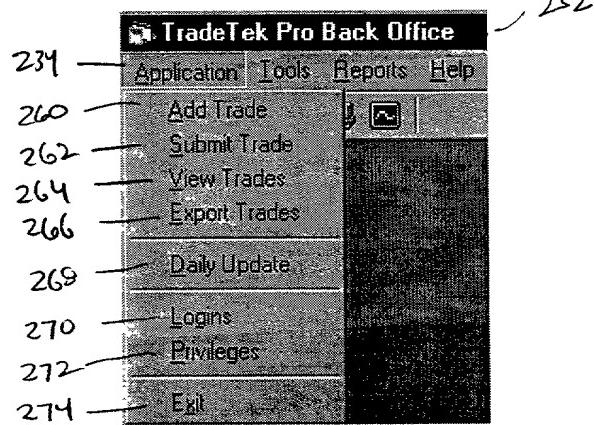
**FIG. 20**



**FIG. 21**



**FIG. 22**



**FIG. 23**

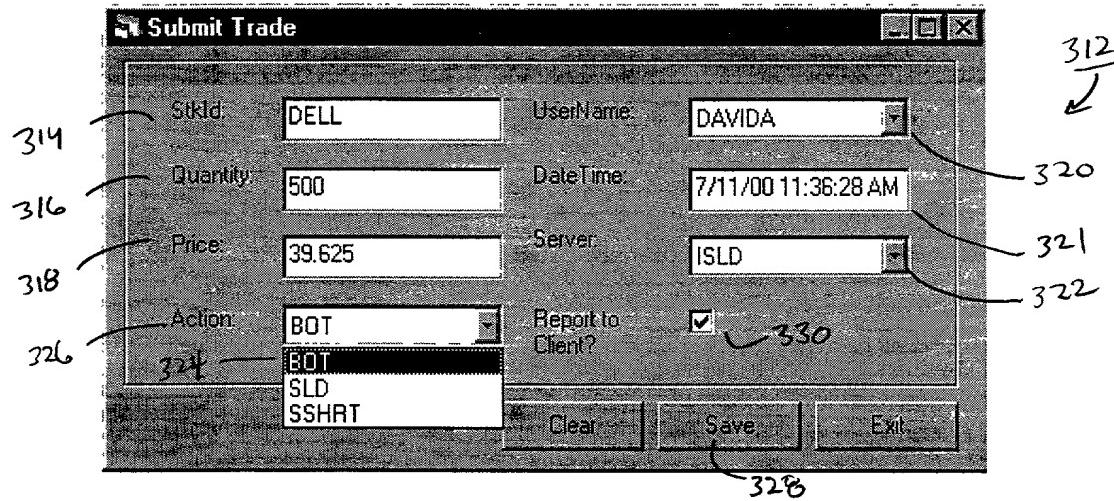
The screenshot shows the 'Add Trade' dialog box. It contains several input fields and dropdown menus. Handwritten numbers are used to label various parts of the interface:

Label	Field/Control	Description
281	StkId:	DELL
282	Quantity:	7500
283	Price:	39.625
284	MMID:	MASH
285	TransNum:	02137
286	User Name:	ANISH
287	Action:	BOT SLD SSHRT
288	Leaves:	2500
289	SeqNum:	16438
290	Type:	SOES
291	Market ID:	ACTS
292	DateTime:	7/11/00 11:32:04 AM
293	Date:	110700
294	Time:	11:32:04
295	Clear	Clear
296	Save	Save
297	Exit	Exit

Handwritten numbers also point to specific controls at the bottom of the dialog box:

- 276 points to the 'Add Trade' button.
- 298 points to the 'Save' button.
- 299 points to the 'Exit' button.
- 300 points to the 'Save' button.
- 301 points to the 'Exit' button.
- 302 points to the 'Save' button.
- 303 points to the 'Exit' button.
- 304 points to the 'Save' button.
- 305 points to the 'Exit' button.
- 306 points to the 'Save' button.
- 307 points to the 'Exit' button.
- 308 points to the 'Clear' button.
- 309 points to the 'Save' button.
- 310 points to the 'Exit' button.

**FIG. 24**



**FIG. 25**

The screenshot shows a Windows-style application window titled "View Trades". It displays a list of trades in a table format:

SkId	Quantity	Price	MMid	TransNum	Account	Action
MSFT	100	95 1/2	ARCA	1325	10206300	BOT
SCOT	200	8	ARCA	1326	10206300	BOT

At the top, there are filters and sorting options:

- Date:** 070300 (labeled 332)
- Trades:** Live (labeled 334), with a dropdown menu showing Live and Archived.
- Sort by:** TransNum (labeled 336)
- Show:** (labeled 337)

**FIG. 26**

342

344	346	348	350	352	356
358	360	362	364	365	366
Action	Date	Time	Datetime	Leaves	SecNum
Matched	StopValue	InPrice	374		
				375	

## FIG. 27

378

380

382

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383

386

384

390

Skid	Quantity	Price	MMid	TransNum	Account	Action	Date
GENE	100	61 11/16	ARCA	129	10206230	BOT	020300
GENE	100	61 11/16	ARCA	131	10206230	BOT	020300
AMGN	100	65 3/4	ARCA	135	10206250	BOT	020300
FCSE	100	4 13/32	ARCA	142	10206250	BOT	020300
YHOO	100	155 7/8	ARCA	146	10206230	SSHRT	020300
YHOO	900	154 7/8	ARCA	147	10206230	SSHRT	020300
IHSN	100	12 1/2	ARCA	150	10206230	BOT	020300
IHSN	500	12 1/2	ARCA	151	10206230	BOT	020300
IHSN	400	12 1/2	ARCA	153	10206230	BOT	020300
IHSN	100	15 1/2	ARCA	156	10206250	BOT	020300

Export to:

DATs: New Order Report

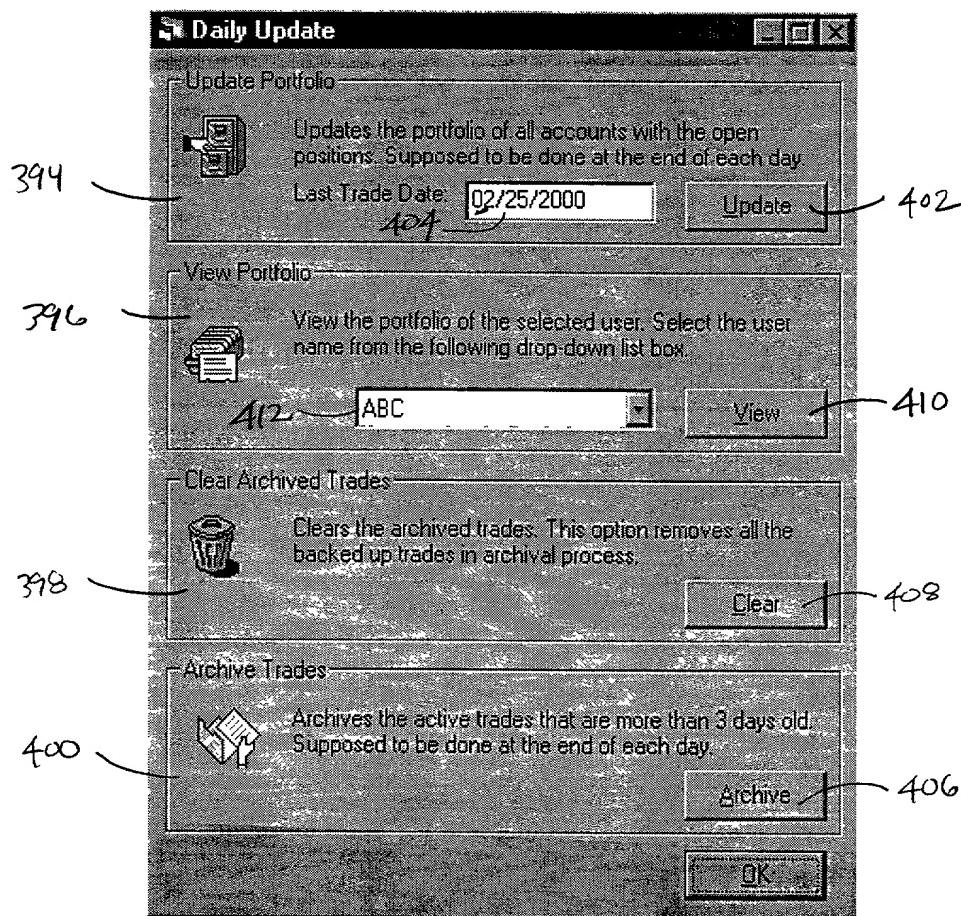
Login/Pwd: msumbaa/winteraa

Firm Name: TradeTek LLC

File Name: DAT\EC20300.txt

Export Exit

## FIG. 28



**FIG. 29**

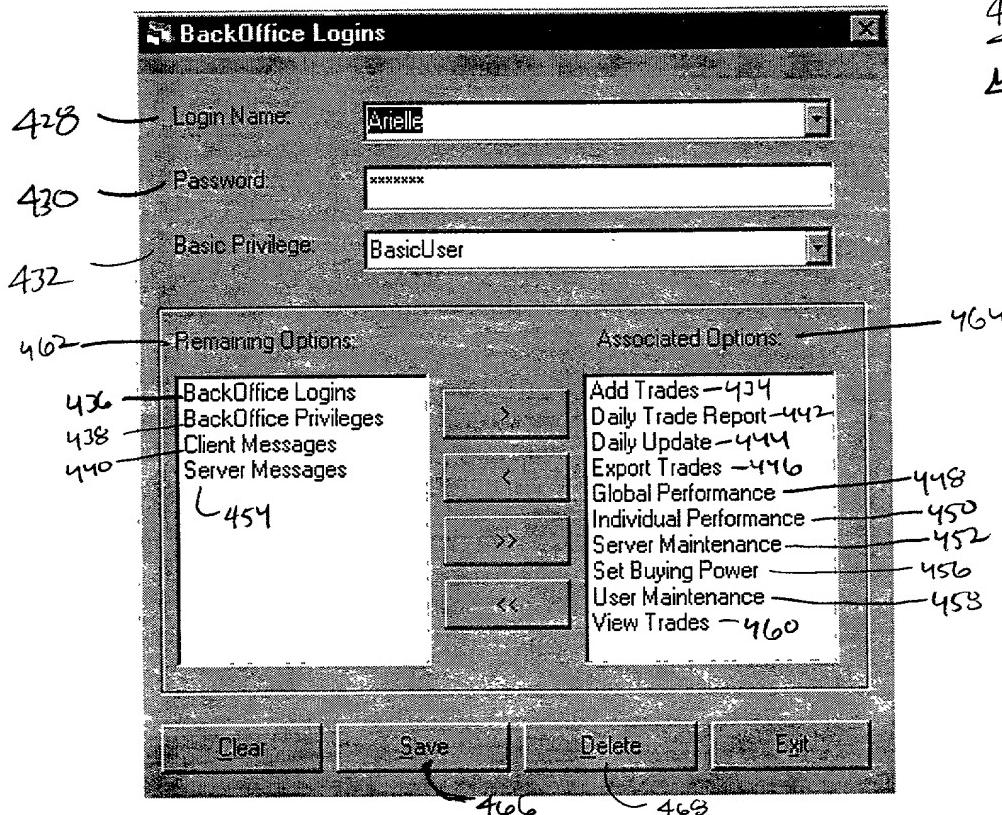
**Portfolio of NIRANJAN**

Symbol	Quantity	Price	Date
MSFT	100	95.5000	3/7/00 11:33:05 AM
SCOT	200	8.0000	3/7/00 11:33:05 AM

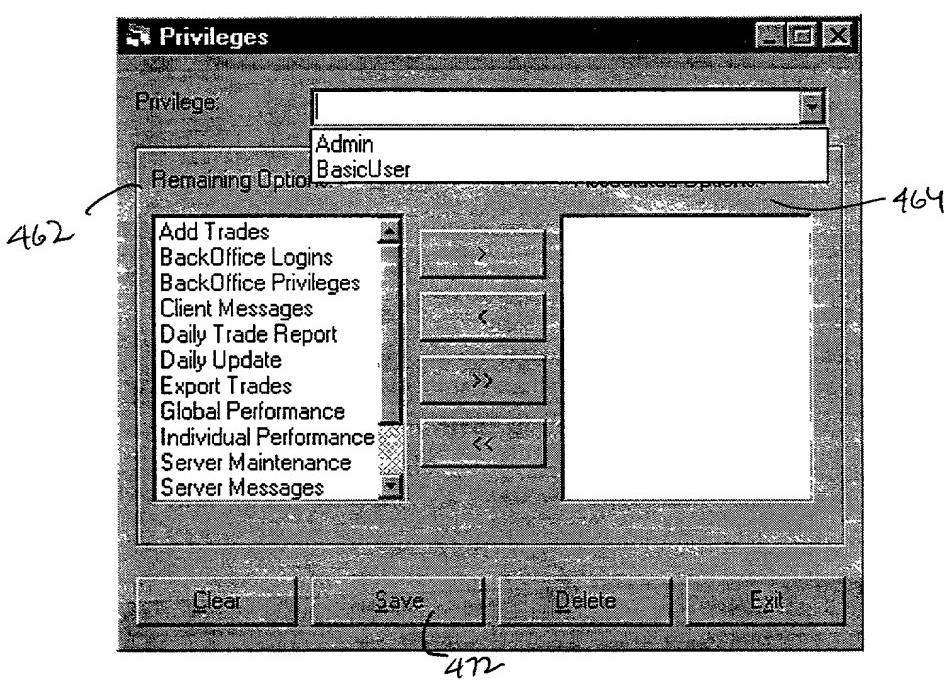
Annotations (Handwritten numbers pointing to specific fields and rows):

- 418 (points to the 'Symbol' column header)
- 420 (points to the 'Quantity' column header)
- 422 (points to the 'Price' column header)
- 424 (points to the 'Date' column header)
- 416 (points to the 'Portfolio of NIRANJAN' title)
- 444 (points to the 'OK' button in the bottom right corner)

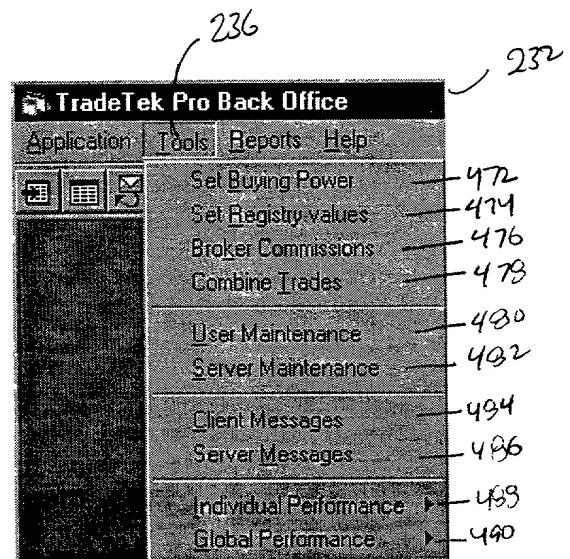
**FIG. 30**



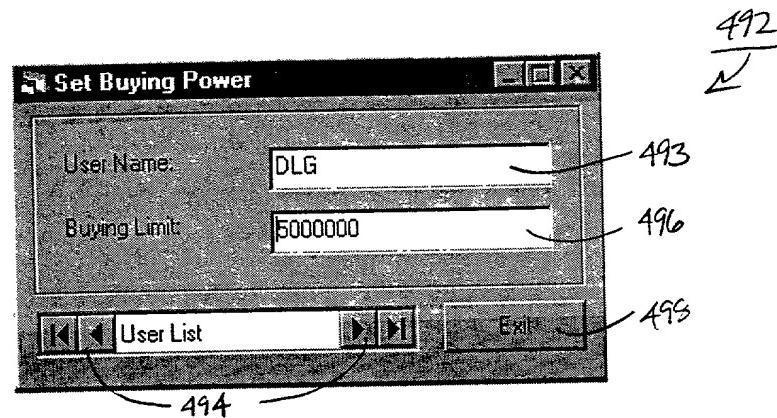
**FIG. 31**



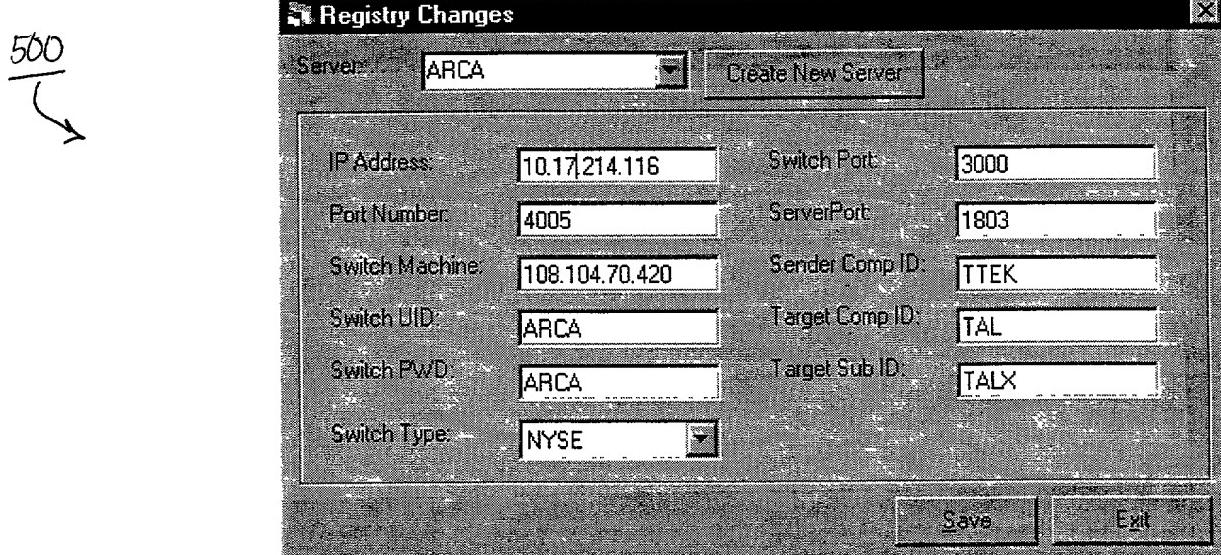
**FIG. 32**



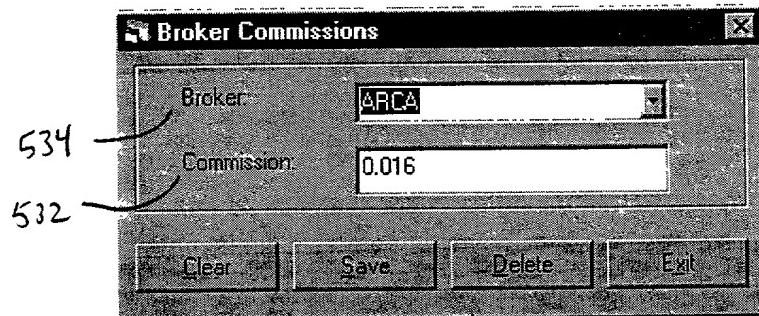
**FIG. 33**



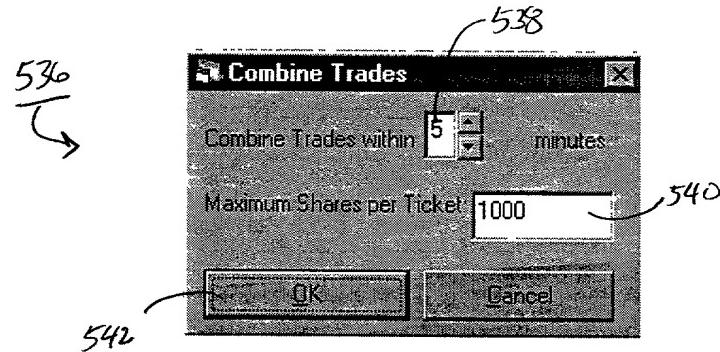
**FIG. 34**



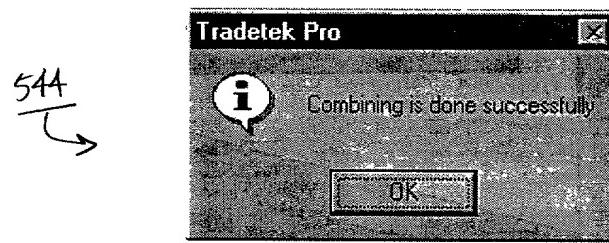
**FIG. 35**



**FIG. 36**



**FIG. 37**



**FIG. 38**

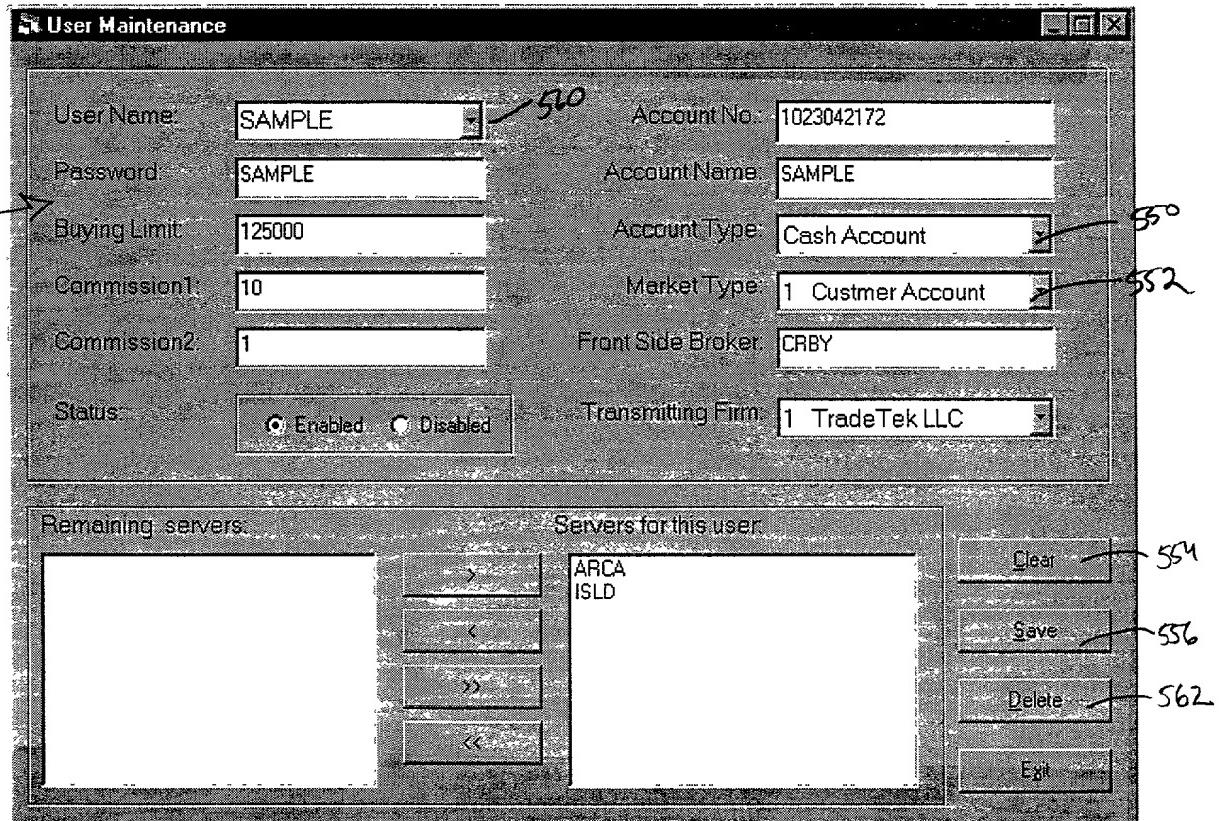


FIG. 39

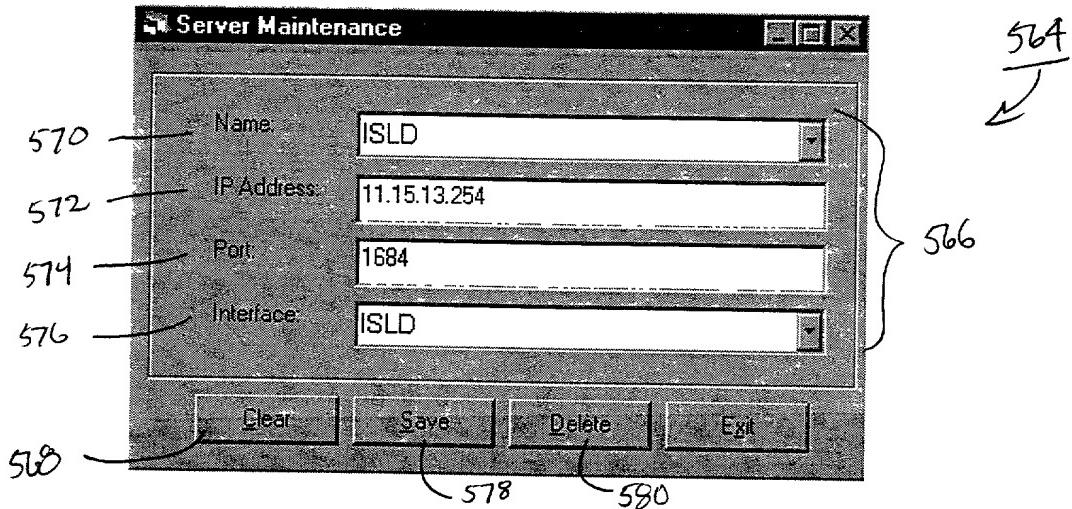


FIG. 40

Client Messages

582 → 602 → 603 → 604 → 605 → 606 → 607 → 608 → 609 → 610 → 611 → 612

Client	StkId	Action	Quantity	Price	MMid	Reference No	Info
DAVIDA	MSFT	BOT	200	93 7/8	ARCA		
DAVIDA	CIEN	ACCEPT	300		ARCA		
DAVIDA	CIEN	BOT	100	177	ARCA		
DAVIDA	CIEN	BOT	200	176 15/16	ARCA		
DAVIDA	RHAT	ACCEPT	300		ARCA		
DAVIDA	RHAT	BOT	100	62 1/4	ARCA		
DAVIDA	RHAT	BOT	100	62 1/4	ARCA		
DAVIDA	RHAT	BOT	100	62 1/4	ARCA		
DAVIDA	YHOO	ACCEPT	800		ARCA		
DAVIDA	YHOO	SSHRT	800	155 5/16	ARCA		
DAVIDA	LVLT	ACCEPT	1000		ARCA		
DAVIDA	LVLT	BOT	1000	115 15/16	ARCA		
DAVIDA	ITWO	ACCEPT	700		ARCA		

Raw Message:

```
[accept][CIX]ACCEPT[10061]ARCA[02030010:29:27|100||26]
```

FIG. 41

589 → 584 → 580 → 586 → 590 → 592 → 594 → 596

Client	StkId	Action	Quantity	Price	MMid	Reference No

Info RawMessage Time MsgNumber

FIG. 42

616 ↘

618 ↙

Server	ARCA	Client	SAMPLE	Date	Today	StkId	SAMPLE	Show
Date	Sender	Type	Symbol	Seq Num	AdminFlag	Rejected	ServerId	Client
1000303	TTEK	Logon		1	-1	0	3	N
1000303	TAL	Logon		1	0	0	3	E
1000303	TTEK	NewOrderSingle	AMGN	15	0	0	3	JMKG
1000303	TAL	ExecutionReport	AMGN	15	0	0	3	JMKG
1000303	TAL	ExecutionReport	AMGN	16	0	0	3	JMKG
1000303	TTEK	OrderCancelRequest	PSFT	49	0	0	3	JMKG
1000303	TAL	OrderCancelReject		51	0	0	3	E
1000303	TTEK	OrderCancelRequest	PSFT	50	0	0	3	JMKG
1000303	TAL	OrderCancelReject		52	0	0	3	E
1000303	TTEK	Logout		108	-1	0	3	N
1000303	TAL	Logout		110	0	0	3	E

Raw Message:

```
8=FIX.4.0|9=5935|A=49|TTEK|65=TAL|34=1152|20000303-17:22:08|98-01|08-30|10-070|
```

FIG. 43

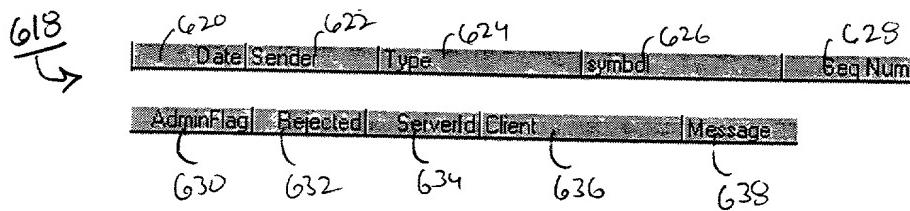
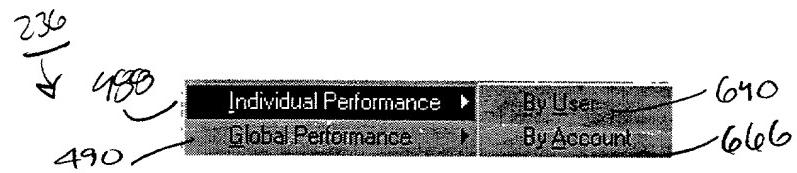
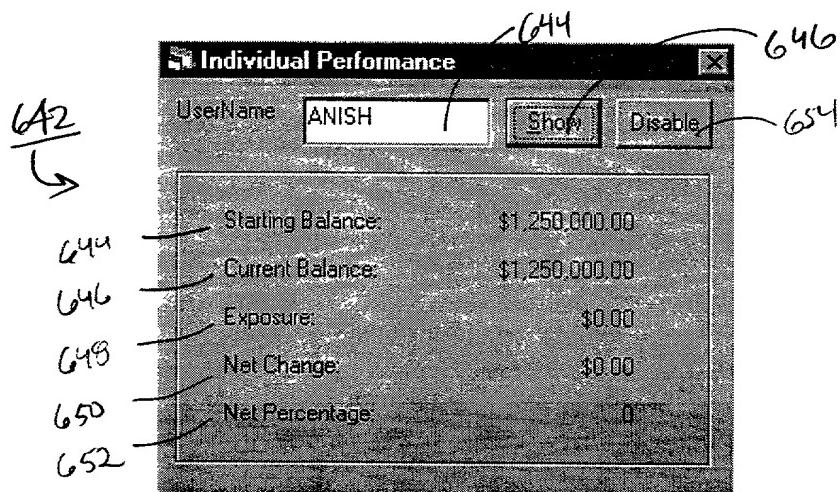


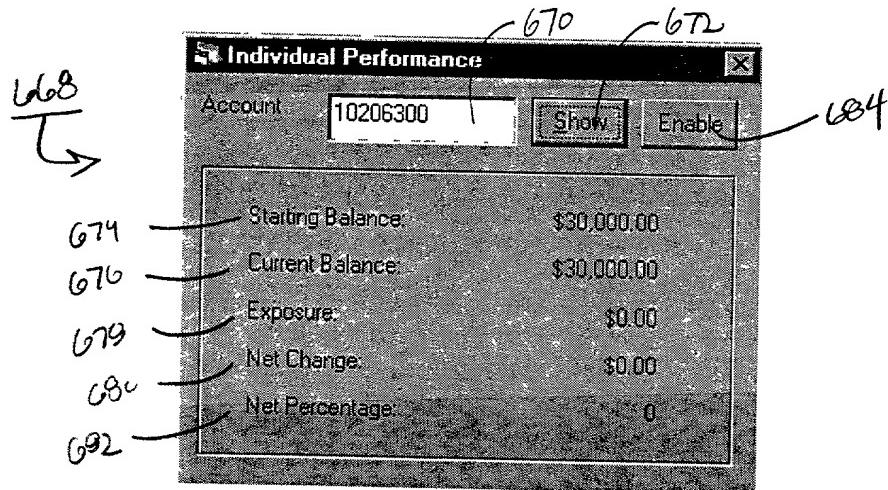
FIG. 44



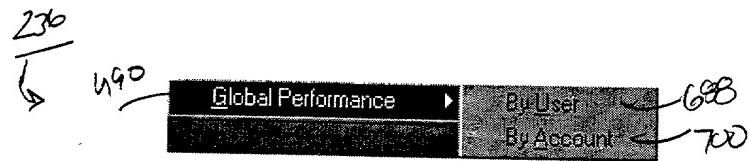
## FIG. 45



## FIG. 46



## FIG. 47



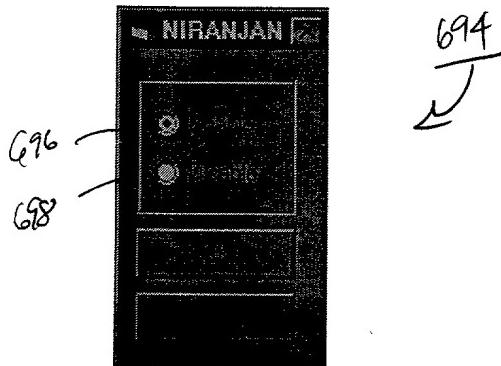
**FIG. 48**

690

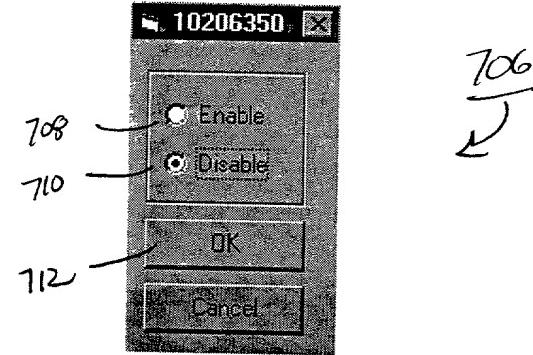
692

UserName	Starting	Current	Exposure	Change	Net %
ABC	\$1,125,000.00	\$1,125,000.00	\$0.00	\$0.00	0
ALPHA	\$100,000.00	\$100,000.00	\$0.00	\$0.00	0
ANISH	\$1,250,000.00	\$1,250,000.00	\$0.00	\$0.00	0
ARUNAS	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00	0
BETA	\$100,000.00	\$100,000.00	\$0.00	\$0.00	0
DAVIDA	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00	0
DELTA	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0
DILEE	\$300,000.00	\$300,000.00	\$0.00	\$0.00	0
DLG	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00	0
DMW	\$125,000.00	\$125,000.00	\$0.00	\$0.00	0
EBEL	\$125,000.00	\$125,000.00	\$0.00	\$0.00	0
GAMMA	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0
GELFOND	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0
JUNE	\$1,000,000.00	\$1,000,275.00	\$0.00	\$275.00	0.03
NIRANJAN	\$20,000.00	\$20,000.00	\$0.00	\$0.00	0
NIRANJAN1	\$10,000.00	\$10,000.00	\$0.00	\$0.00	0
PAUL	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00	0
SCOTT	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00	0
SOURABH	\$4,000,000.00	\$4,000,000.00	\$0.00	\$0.00	0
STEVE	\$300,099.00	\$300,099.00	\$0.00	\$0.00	0
TEST	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00	0
TESTABC	\$12,000.00	\$12,000.00	\$0.00	\$0.00	0
ZULU	\$500,000.00	\$500,000.00	\$0.00	\$0.00	0

**FIG. 49**



**FIG. 50**

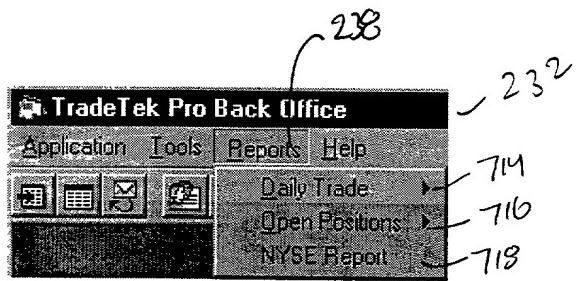


**FIG. 52**

**Global Performance**

Account	Starting	Current	Exposure	Change	Net %
10001	\$300,000.00	\$300,000.00	\$0.00	\$0.00	0
10206220	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00	0
10206230	\$1,125,000.00	\$1,125,000.00	\$0.00	\$0.00	0
10206240	\$1,250,000.00	\$1,250,000.00	\$0.00	\$0.00	0
10206250	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00	0
10206260	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00	0
10206270	\$125,000.00	\$125,000.00	\$0.00	\$0.00	0
10206280	\$125,000.00	\$125,000.00	\$0.00	\$0.00	0
10206290	\$1,000,000.00	\$1,000,275.00	\$0.00	\$275.00	0.03
10206300	\$30,000.00	\$30,000.00	\$0.00	\$0.00	0
10206310	\$5,000,000.00	\$5,000,000.00	\$0.00	\$0.00	0
10206320	\$2,000,000.00	\$2,000,000.00	\$0.00	\$0.00	0
10206330	\$4,000,000.00	\$4,000,000.00	\$0.00	\$0.00	0
10206340	\$300,099.00	\$300,099.00	\$0.00	\$0.00	0
10206350	\$1,000,000.00	\$1,000,000.00	\$0.00	\$0.00	0
10206360	\$300,000.00	\$300,000.00	\$0.00	\$0.00	0
10206370	\$500,000.00	\$500,000.00	\$0.00	\$0.00	0
11000111	\$12,000.00	\$12,000.00	\$0.00	\$0.00	0
12700027	\$50,000.00	\$50,000.00	\$0.00	\$0.00	0

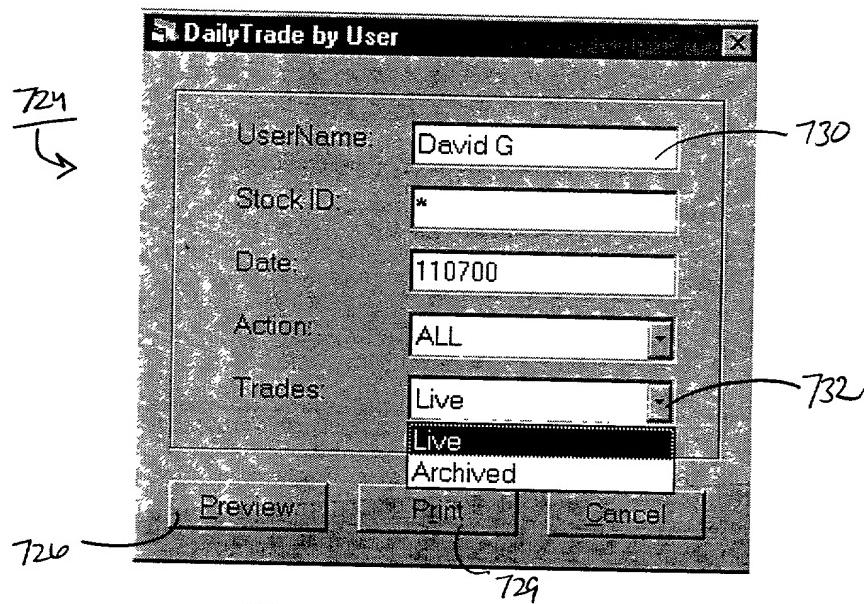
**FIG. 51**



**FIG. 53**



**FIG. 54**



**FIG. 55**

**FINANCIAL LINKS**

Member NASD & SIPC  
18 Crawford St, Needham, MA.

Friday July 07, 2000

Phone: 781 455 0188

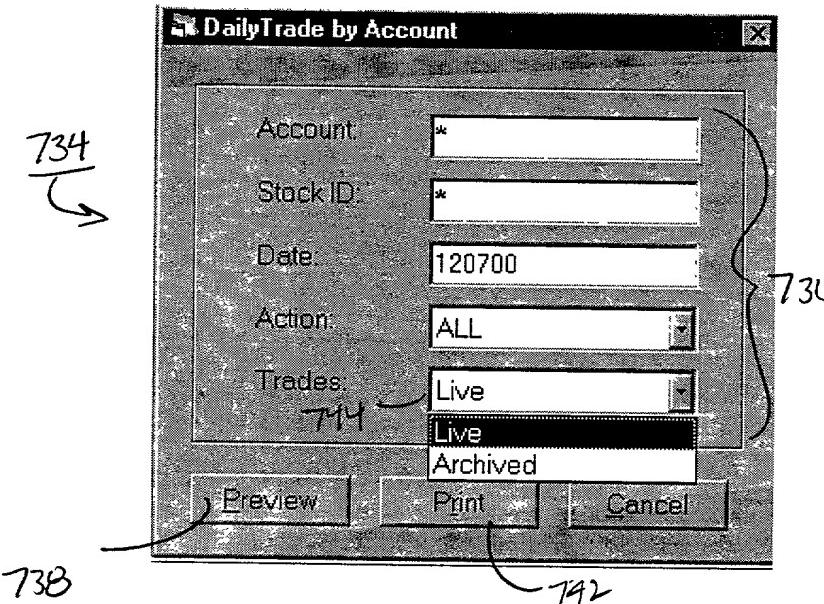
Fax: 781 455 0188

User: ANISH  
Account: 10206240  
ANISH

**Daily Trade Memorandum**

*728*

RT#	Ticket#	Time	Stock	Shares	Action	Market	MMID	Price	Comm	SEC	Other	Total
<i>729</i>												
15749	15749	13:46:21	IES IB	10	BOI	ACIS	ISLD	\$0 7/16	\$0.00	\$0.00	\$0.25	(\$513.38)
15749	15750	13:48:40	IES IB	10	SLD	ACIS	ISLD	47 3/16	\$0.00	\$0.02	\$0.25	\$462.88
15751	15751	14:50:00	IES IB	100	BOI	ACIS	ISLD	48	\$0.00	\$0.00	\$0.50	(\$4,809.00)
15751	15752	15:00:56	IES IB	10	BOI	ACIS	ISLD	400	\$1.00	\$0.00	\$0.25	(\$4,001.00)
15751	15753	15:01:29	IES IB	110	SLD	ACIS	ISLD	47 1/8	\$0.00	\$0.17	\$2.75	\$3,174.75
15754	15754	16:40:19	IES IB	1	BOI	ACIS	ISLD	46 7/8	\$0.00	\$0.00	\$0.03	(\$55.88)
15754	15755	16:40:49	IES IB	1	BOI	ACIS	ISLD	47	\$1.00	\$0.00	\$0.03	(\$48.00)
15754	15756	16:42:17	IES IB	1	BOI	ACIS	ISLD	47 5/8	\$1.00	\$0.00	\$0.03	(\$48.63)
15754	15757	16:42:20	IES IB	1	BOI	ACIS	ISLD	47 5/8	\$1.00	\$0.00	\$0.03	(\$48.63)
15754	15758	16:42:21	IES IB	1	BOI	ACIS	ISLD	47 5/8	\$1.00	\$0.00	\$0.03	(\$48.63)
15754	15759	16:49:10	IES IB	5	SLD	ACIS	ISLD	13	\$0.00	\$0.00	\$0.13	\$56.00
Total Sec:												\$ 0.19
Total Comm. & Fees:												\$ 65.25
Total Gross Profit/Loss:												(\$3,879.50)

**FIG. 56****FIG. 57**

**FINANCIAL LINKS**  
Member NASD & SIPC  
18 Crawford St, Needham, MA.

Friday July 07, 2000  
Phone: 781 455 0188  
Fax: 781 455 0188

Daily Trade Memorandum

Account: 10206240  
ANISH

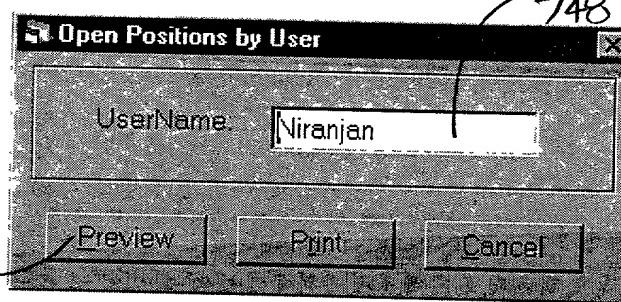
RT#	Ticket#	Time	Stock	Shares	Action	Market	MMID	Price	Comm	Other	SEC	Total
<i>07/07/2000</i>												
15749	15749	13:46:21	IES IB	10	BO I	AC IS	ISLD	\$0 7/16	\$9.00	\$0.25	\$0.00	(\$513.36)
15749	15750	13:48:40	IES IB	10	SLD	AC IS	ISLD	47 3/16	\$9.00	\$0.25	\$0.02	\$462.88
15751	15751	14:50:00	IES IB	100	BO I	AC IS	ISLD	48	\$9.00	\$2.50	\$0.00	(\$4,809.00)
15751	15752	15:00:56	IES IB	10	BO I	AC IS	ISLD	400	\$9.00	\$0.25	\$0.00	(\$4,001.00)
15751	15753	15:01:29	IES IB	110	SLD	AC IS	ISLD	47 1/8	\$9.00	\$2.75	\$0.17	\$3,174.75
15754	15754	16:40:19	IES IB	1	BO I	AC IS	ISLD	46 7/8	\$9.00	\$0.03	\$0.00	(\$55.88)
15754	15755	16:40:49	IES IB	1	BO I	AC IS	ISLD	47	\$9.00	\$0.03	\$0.00	(\$48.00)
15754	15756	16:42:17	IES IB	1	BO I	AC IS	ISLD	47 5/8	\$9.00	\$0.03	\$0.00	(\$48.63)
15754	15757	16:42:20	IES IB	1	BO I	AC IS	ISLD	47 5/8	\$0.00	\$0.03	\$0.00	(\$48.63)
15754	15758	16:42:21	IES IB	1	BO I	AC IS	ISLD	47 5/8	\$0.00	\$0.03	\$0.00	(\$48.63)
15754	15759	16:39:10	IES IB	5	SLD	AC IS	ISLD	13	\$9.00	\$0.13	\$0.00	\$56.00

Total Sec: \$0.19

Total Comm. & Fees: \$ 87.25

Total Gross Profit/Loss: (\$3,879.50)

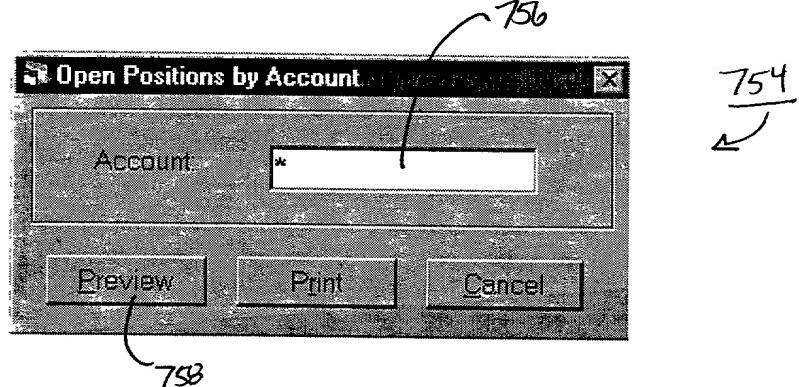
**FIG. 58**



750

746  
↓

**FIG. 59**

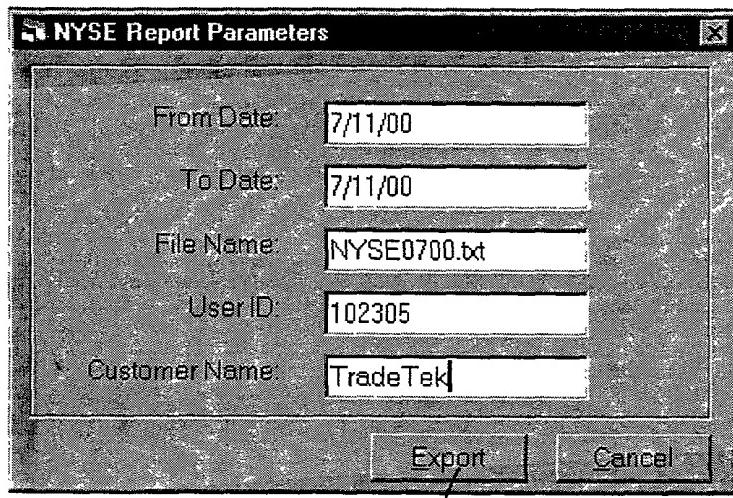


## FIG. 60

*760* ↗

<b>FINANCIAL LINKS</b>					Tuesday July 11, 2000
Member NASD & SIPC					Phone: 781 455 0188
18 Crawford St, Needham, MA.					Fax: 781 455 0188
<b>Open Positions as of 7/11/00 4:23:37PM</b>					<b>Account :</b> 10206300 Niranjan Avadhuta
Stock	Type	Quantity	Avg. Price	Total	
CSCO	LONG	200	111.00	22,200.00	
MSFT	LONG	200	76.00	15,200.00	
<b>Total Amount:</b>					<b>\$37,400.00</b>

## FIG. 61



**FIG. 62**

OPEN POSITION REPORT FOR 7/11/00

**FINANCIAL LINKS**

Member NASD & SIPC  
18 Crawford St, Needham, MA.

Tuesday July 11, 2000  
Phone: 781 455 0188  
Fax: 781 455 0188

**Open Positions as of 7/11/00 4:19:19PM**

UserName: NIRANJAN  
Account: 10206300  
Niranjan Avadhuta

Stock	Type	Quantity	Price	Total
MSFT	LONG	200	76.00	15,200.00
<b>Total Amount:</b>				<b>\$15,200.00</b>

**FIG. 63**



FIG. 64

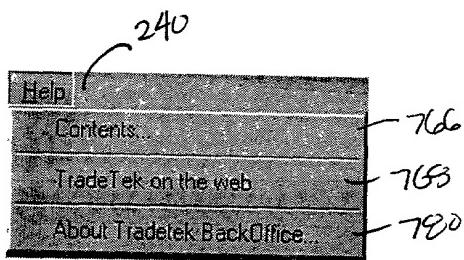


FIG. 65

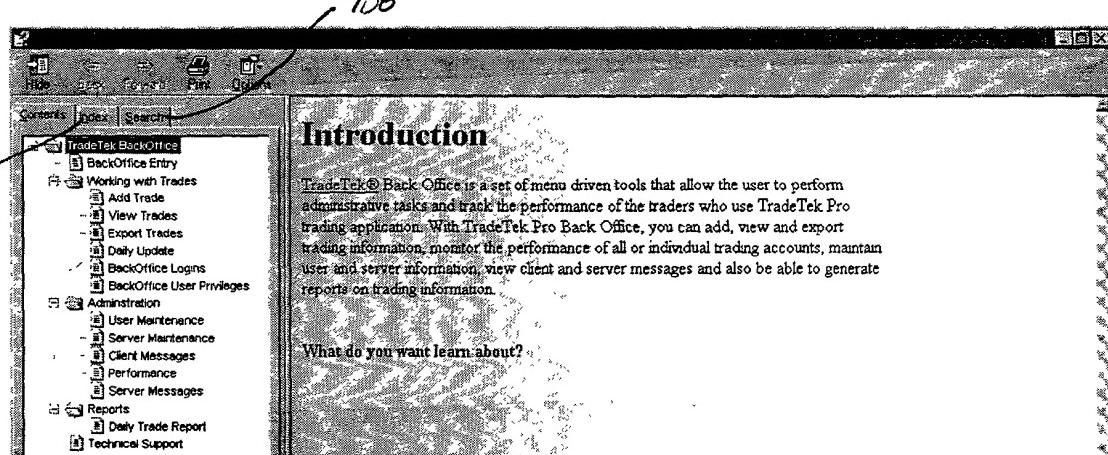
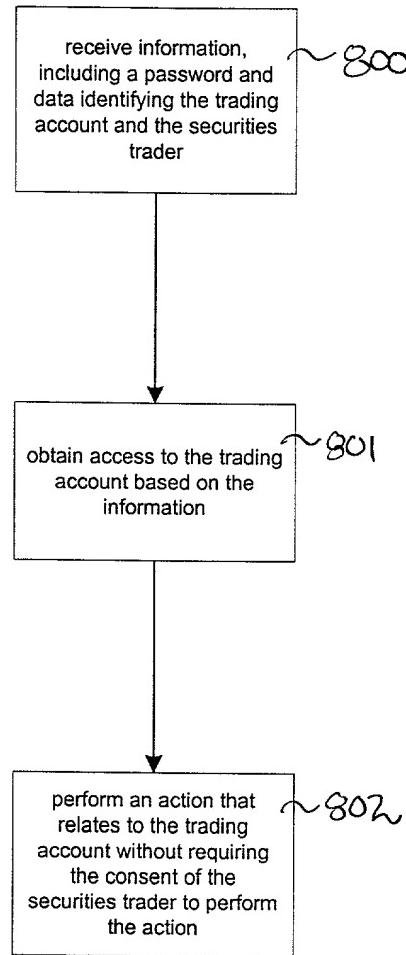


FIG. 66



**FIG. 67**